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DATE OF DEPOSIT: February 8, 2002

ATTORNEY'S DOCKET NO: 000229/7002 GSE



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Philip J.S. Gladstone and Jeffrey A. Kraemer  
Serial No: Not Yet Assigned  
Filed: Herewith  
For: STATEFUL REFERENCE MONITOR

Examiner: Not Yet Assigned  
Art Unit: Not Yet Assigned

Box Patent Application  
Commissioner for Patents  
Washington, D.C. 20231

STATEMENT FILED PURSUANT TO THE DUTY OF  
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case. No fee or certification is required.

PART II: Information Cited

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

PART III: Remarks

Documents cited on the attached form PTO-1449 (modified) are enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.


By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,  
*Philip J. S. Gladstone et al., Applicants*

By:   
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Docket No. O00229/7002 GSE

Dated: February 8, 2002

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<b>FORM PTO-1449/A and B (Modified)</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				APPLICATION NO.: Unassigned		ATTY. DOCKET NO.: 000229/7002			
				FILING DATE: Herewith				J1917 U.S. PTO 10/071328 02/08/02	
				APPLICANT: Philip J. S. Gladstone et al.					
				GROUP ART UNIT: Unassigned		EXAMINER: Unassigned			
Sheet	1	of	1						

**OTHER ART — NON PATENT LITERATURE DOCUMENTS**

Examiner's Initials#	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)
	A1	ANDERSON, Debra et al., "Next-generation Intrusion Detection Expert System (NIDES) A Summary," Technical Report SRI-CSL-95-07, Computer Science Laboratory, SRI International, May 1995, 47 pgs.	
	A2	NEUMANN, Peter G. et al., "Experience with EMERALD to Date", 1st USENIX Workshop on Intrusion Detection and Network Monitoring, Santa Clara, California, 11-12 April 1999, pp 73-80.	
	A3	SNAPP, Steven R. et al., "DIDS (Distributed Intrusion Detection System) – Motivation, Architecture, and An Early Prototype", Proceedings of 14 <sup>th</sup> National Computer Security Conference, Washington, D.C., October 1991, pp. 167-176.	
	A4	SPAFFORD, Eugene H. et al., "Intrusion detection using autonomous agents", Computer Networks 34 (2000), pp. 547-570.	
	A5	WALLACH, Dan S. et al., "Understanding Java Stack Inspection", IEEE Proceedings of Security & Privacy, May 1998, pp. 1-12.	

EXAMINER	DATE CONSIDERED
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]